

Preparing an Application for NEA/AC Funding

TABLE OF CONTENTS

GENERAL GUIDANCE	- 1 -
REQUIRED APPLICATION DOCUMENTS	- 1 -
Application Coversheet.....	- 2 -
Applicant Organization Information.....	- 2 -
SF-424—Application for Federal Assistance	- 2 -
SF-424A—Budget Information—Non-Construction Programs	- 4 -
SF-424B—Assurances—Non-Construction Programs.....	- 7 -
Program Narrative.....	- 7 -
Budget Narrative.....	- 9 -
<i>Budget Definitions</i>	- 9 -
<i>Cost Category Guidelines</i>	- 10 -
<i>Budget Narrative Sample Template</i>	- 12 -
Sustainability Plan	- 12 -
Results Monitoring Plan	- 13 -
NICRA	- 13 -
OPTIONAL DOCUMENTS.....	- 13 -

GENERAL GUIDANCE

It is strongly recommended that applicants submit grant applications using Microsoft Office products. If applicants do not have access to Microsoft Office products, PDF files may be submitted. If an applicant uses a file format other than Microsoft Office or PDF, the application may be unreadable.

The required font is 12-point Times New Roman. The application must be formatted for 8 ½ x 11 or A4 paper and single spaced, with all margins (left, right, top, bottom) being at least one inch each. Also, applicants should ensure all pages in the application are numbered consecutively and meet the page limit requirements outlined in the announcement. **If the application exceeds the page limit, the application will not advance to the Technical Review stage.**

REQUIRED APPLICATION DOCUMENTS

The documents discussed below are what NEA/AC commonly requests in their program announcements. **Before preparing a submission, applicants should carefully review the announcement to confirm what documents are required and any page limits specified.**

Preparing an Application for Funding

- 2 -

Application Coversheet

The Coversheet provides summary detail about the applicant and their proposed activities and is a separate attachment in the electronic submission. It can be **no more than one page**. A sample template can be found with the announcement and a fill-able template is available for download online.

Applicants are strongly encouraged to use the same format as found in the sample template. If the applicant does not use the template, the applicant must ensure that their submission includes all elements outlined in the sample.

If using the sample template, the Coversheet should be filled out in its entirety. Under the *Executive Summary* header, please provide a mandatory synopsis of the proposed project (e.g., The project will...). **The information in blue text should be deleted prior to submitting the document.**

Applicant Organization Information

The Applicant Organizational Information document provides NEA/AC with information about the organization's structure and policies; and allows NEA/AC to assess the organization's ability to manage Federal funds. It is a separate attachment in your electronic submission. A sample template can be found with the announcement and a fill-able template is available for download online.

Applicants are strongly encouraged to use the same format as found in the sample. If the applicant does not use the template, the applicant must ensure that their submission includes all elements outlined in the sample.

SF-424—Application for Federal Assistance Instructions to Complete the Form

The SF-424—Application for Federal Assistance collects basic information on the applicant, the proposed project, the funding amount requested, and information about the announcement to which you are applying. **The form must be completed online and signed by the Authorized Organization Representative.** Below please find instructions on how to complete each of section of the form.

Item #1—Type of Submission: Select “Application.”

Item #2—Type of Application: Select “New.”

Item #3 - #4—Date Received/Applicant Identifier: Leave blank.

Item #5a - #5b—Federal Entity Identifier/Federal Award Identifier: Leave blank.

Preparing an Application for Funding

- 3 -

Item #6 - #7—Date Received by State/State Application Identifier: Leave blank.

Item #8—Applicant Information:

8a – Input your organization’s legal name.

8b – U.S. Organization: Enter your EIN or TIN as assigned by the IRS.

International organization: Enter “44-4444444.”

8c – Enter your organization’s DUNS number (this is a nine-digit number).

8d – Enter your organizations address including country.

8e – If applicable, enter the name of a department or division in your organization that will coordinate the proposed activities.

8f – Name of the project person to contact about this application. **It is a best practice that this person not be listed as the authorized representative on this form.**

Item #9—Type of Applicant: Please select all that apply.

Item #10—Name of Federal Agency: Leave as written; it is completed for you.

Item #11—Catalog of Federal Domestic Assistance Number and Title: Leave as written; it is completed for you.

Item #12—Funding Opportunity Number and Title: Leave as written; it is completed for you.

Item #13—Competition Identification Number and Title: Leave as written; it is completed for you.

Item #14—Areas Affected by Project: Attach a one-page document listing the city(ies) and country(ies) where your organization proposes to perform its proposed activities.

Item #15—Descriptive Title of Applicant’s Project: Enter the title of your project.

Item #16—Congressional Districts

16a – Applicant:

U.S. Organization: Enter the congressional district of your organization.

International Organization: Enter “00-000.”

16b – Program/Project:

U.S.-Based Program: Enter all the congressional districts affected by the program.

International Program (outside the U.S.): Enter “00-000.”

Item #17—Proposed Project: Enter the proposed start date and end date (MM/DD/YYYY) of your project. Actual dates will be negotiated if selected for funding.

Item #18—Estimated Funding

18a – Enter the amount of funding your organization is requesting from NEA/AC (Federal funding).

Preparing an Application for Funding

- 4 -

18b – Enter the amount of any Non-Federal (e.g. non-U.S. Government) resources that will be used to support the project. This includes cost sharing and matching.

18c-d –U.S. Organization: Enter any funding you are receiving from the State and Local governments for this project, if applicable.

18e – Enter any other funding for the project that does not fit into the 18b-18d categories, if applicable. Otherwise leave blank or input “0.00.”

18f – If you anticipate any income to be generated by this project (i.e. registration fees) input that information here, if applicable.

18g – Total all the numbers from 18a-18f

Item #19—Is Application subject to Review by State Under Executive Order 12372 Process? Select “c. Program is not covered by E.O. 12372.”

Items #20—Is Applicant Delinquent of any Federal Debt. Do you owe the U.S. government money? Please select Yes/No. If yes, please provide an explanation.

Item # 21 – Authorized Representative: By checking box 21 and signing the SF-424—Application for Federal Assistance, the authorized representative certifies that the information in the SF-424 form is complete and accurate to the best of the representative’s knowledge **and** that the representative agrees to comply with the required assurances and certifications. Please provide the name, contact information, and signature of the authorized representative. The governing body of the applying organization must have specifically documented the designation for an authorized representative to submit an application for funding to the U.S. Government.

PLEASE NOTE: It is a best practice to have the SF-424 signed by the Authorizing Official who would sign an ensuing award document for the applying organization. It is also a best practice this person not be the same person listed as the point of contact on line “8f” of this form.

SF-424A—Budget Information—Non-Construction Programs Instructions to Complete the Form

The SF-424a—Budget Information—Non-Construction Program provides information on the applicant’s financial plan for carrying out the proposed project. **The form must be completed online.** A more detailed budget will be submitted through the Budget Narrative portion of the application. **NEA/AC recommends that applicants prepare their Budget Narrative and then complete the SF-424a form.**

Section A—Budget Summary

Line #1:

Column (a)—Grant Program Function or Activity: Input “Office of Assistance Coordination”

Column (b)—Catalog of Federal Domestic Assistance (CFDA) No: Input CFDA number referenced on the first page of the notice of funding opportunity (NOFO)

Column (c)—Estimated Unobligated Funds, Federal: Leave Blank

Column (d)—Estimated Unobligated Funds, Non-Federal: Leave Blank

Preparing an Application for Funding

- 5 -

Column (e)—New/Revised Budget, Federal: Enter the amount of Federal funding your organization is requesting.

Column (f)—New/Revised Budget, Non-Federal: Enter the amount of Non-Federal (e.g. non-U.S. Government) funds that will be used to support the project.

Column (g)—New/Revised Budget, Total: Enter the total of Column E and Column F.

Lines #2-4, Columns (a)-(g): Leave Blank

Line #5:

Column (c)—Estimated Unobligated Funds, Federal: Input "\$0.00."

Column (d)—Estimated Unobligated Funds, Non-Federal: Input "\$0.00."

Column (e)—New/Revised Budget, Federal: Enter the amount from Line #1, Column (e)

Column (f)—New/Revised Budget, Non-Federal: Enter the amount from Line #1, Column (f).

Column (g)—New/Revised Budget, Total: Enter the amount from Line #1, Column (g).

Section B—Budget Categories

Line #6—Object Class Categories:

Column (1)—Grant Program, Function, or Activity: Input "Office of Assistance Coordination."

Column (2)–(4)—Grant Program, Function, or Activity: Leave Blank

Column (5)—Total: Leave Blank.

Line #6.a—Personnel:

Column (1): Input the total Federal Request and Non-Federal Request from the "Personnel" category in the Budget Summary section of your Budget Narrative.

Column (2)–(4): Leave Blank

Column (5): Enter the amount from 6.a, Column 1.

Line #6.b—Fringe Benefits:

Column (1): Input the total Federal Request and Non-Federal Request from the 'Fringe Benefit' category in the Budget Summary section of your Budget Narrative.

Column (2)–(4): Leave Blank

Column (5): Enter the amount from 6.b, Column 1.

Line #6.c—Travel:

Column (1): Input the total Federal Request and Non-Federal Request from the "Travel" category in the Budget Summary section of your Budget Narrative.

Column (2)–(4): Leave Blank

Column (5): Enter the amount from 6.c, Column 1.

Line #6.d—Equipment:

Column (1): Input the total Federal Request and Non-Federal Request from the "Equipment" category in the Budget Summary section of your Budget Narrative.

Column (2)–(4): Leave Blank

Column (5): Enter the amount from 6.d, Column 1.

Preparing an Application for Funding

- 6 -

Line #6.e—Supplies:

Column (1): Input the total Federal Request and Non-Federal Request from the “Supplies” category in the Budget Summary section of your Budget Narrative.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.e, Column 1.

Line #6.f—Contractual:

Column (1): Input the total Federal Request and Non-Federal Request from the “Contractual” category in the Budget Summary section of your Budget Narrative.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.f, Column 1.

Line #6.g—Construction:

Column (1): Input “\$0.00.”

Column (2)-(4): Leave Blank

Column (5): Input “\$0.00.”

Line #6.h—Other:

Column (1): Input the total Federal Request and Non-Federal Request from the “Other” category in the Budget Summary section of your Budget Narrative.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.h, Column 1.

Line #6.i—Total Direct Charges:

Column (1): Enter the total of Lines # 6.a thru #6.h in Column 1.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.i, Column 1.

Line #6.j—Indirect Charges:

Column (1): Input the total Federal Request and Non-Federal Request from the “Indirect Charges” category in the Budget Summary section of your Budget Narrative.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.j, Column 1.

Line #6.k—TOTALS:

Column (1): Enter the total of Lines #6.i thru #6.j in Column 1.

Column (2)-(4): Leave Blank

Column (5): Enter the amount from 6.k, Column 1.

Line #7—Program Income:

Column (1): Input “\$0.00.”

Column (2)-(4): Leave Blank

Column (5): Input “\$0.00.”

Preparing an Application for Funding

- 7 -

Section C—Non-Federal Resources

Line #8:

Column (a)—Grant Program: Input “Office of Assistance Coordination.”

Column (b)—Applicant: Enter total from Section A, Line #1, Column (F).

Columns (c) & (d): Leave Blank.

Column (e)—Totals: Enter amount from Section C, Line#8, Column (b).

Lines #9-11, Columns (a)-(e): Leave Blank

Line #12:

Column (b)—Applicant: Enter amount from of Section C, Line #8, Column (b)

Columns (c) & (d): Leave Blank.

Column (e)—Totals: Enter amount from of Section C, Line #8, Column (b)

Section D—Forecasted Cash Needs

GrantSolutions will automatically fill in this section. **DO NOT** change the information that auto fills in this section.

Section E—Budget Estimates for Federal Funds Needed for Balance of the Project

Leave this entire section blank.

Section F—Other Budget Information

Line #21—Direct Charges: Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain details.

Line #22—Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final, or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line #23—Remarks: Add any additional comments you wish to make.

SF-424B—Assurances—Non-Construction Programs

The SF-424B—Assurances—Non-Construction Programs sets forth compliance requirements an application must certify if awarded a grant. **The form must be reviewed and signed online by the Authorized Organization Representative.**

Program Narrative

The Program Narrative provides detailed information about the proposed project, and is reviewed to determine if a project will be considered for funding. Typically, applicants will address a project’s results and benefits, approach, and organizational capacity in this section of

Preparing an Application for Funding

- 8 -

their application. The Narrative is a separate attachment in the electronic submission and **may not exceed the page limit specified in the announcement.**

Before preparing your Program Narrative, applicants should carefully review the announcement to confirm information should be provided. Below are **some** of the items that, **depending on the announcement**, you will want to address in your Program Narrative:

Results and Benefits

- Clearly explain and specify the proposed project's objectives
- Describe realistic results to be accomplished with the timeframe of the proposed award.
- Clearly identify the anticipated beneficiaries and explains how the project's objectives will positively affect them.
- Provide realistic milestones to indicate progress toward NEA/AC goals and objectives as described in the program announcement.
- Explain how monitoring and evaluation activities will be carried out and who will be responsible for them. Applicants are encouraged to propose a midterm or final evaluation.

Approach:

- Clearly describe how each proposed project activity will address the objectives outlined in the announcement or requested priority area.
- Describe how the proposed project design is innovative and original, as well as feasible.
- Address how the project will engage or obtain support from relevant stakeholders and identify local partners.
- Propose activities that are interactive, practical, and/or experiential in nature.
- Explain how participants will be selected (e.g. criteria for selection, selection process).
- Acknowledges if activities similar to those proposed are already taking or have taken place previously, and provide an explanation as to how proposed new activities will not duplicate or merely add to existing/recent activities.
- Articulates potential challenges to project implementation and propose contingency plans.
- Describe the division of labor among the applicant and any partners.
- Identify and address support for marginalized populations in all proposed activities and objectives and provides specific means for their inclusion.

Organizational Capacity:

- Demonstrate experience (e.g. has previously worked and/or has established contacts/partners) in the proposed country/territory/region.
- Demonstrate an institutional record of successful programs in the content area proposed (e.g. local government skills training).
- Demonstrate capacity for responsible fiscal management of donor funding (e.g. successful management of a previous sub-award or grant).
- Demonstrate the capacity to manage the proposed project, including having adequate staffing.

Preparing an Application for Funding

- 9 -

Budget Narrative

The Budget Narrative is used to determine if costs are reasonable and permissible. All proposed costs funded by Federal and Non-Federal contributions must be reasonable, necessary to achieve project objectives, permissible in accordance with applicable Federal cost principles, auditable, and incurred during the project period. **Before developing a project budget, applicants should carefully review information below. All figures must be in U.S. Dollars and rounded to the nearest dollar.**

The Budget Narrative is a separate attachment in the electronic submission and there is no page limit for this section of the application. A sample template can be found with the announcement and a fill-able template is available for download online. **NOTE: Applicants are strongly encouraged to use the same format as found in the sample templates.** If the applicant does not use the template, the applicant must ensure that their submission includes all elements outlined in the sample. **All budgets must be structured so that they print in a readable format.**

Budget Definitions

Authorized Organization Representative (AOR): The individual authorized to act on behalf of the applicant and assume the obligations imposed by Federal laws, regulations, requirements, and conditions that apply to grant applications and/or awards. This person will be the signatory on the SF-424 and SF-424B forms.

Consultant: An individual or organization who provides professional advice and/or services for a fee and is not a direct hire employee of a grantee's organization. Typically a consultant performs a one-time activity. All consultants require prior approval from NEA/AC.

Contract: A contract under a grant may be awarded for two purposes: 1) goods or services needed to support the grantee's performance of the project or 2) an award to a third party for performance of substantive programmatic work. The first category is termed "vendor relationship," and is described in more detail below under "Vendor." The second category is termed "sub-recipient relationship" and may be in the form of a contract under the grant or, in some cases, a sub-award. More detail on the "sub-recipient" relationship is detailed below under "Sub-Award, Sub-Recipient, or Sub-Grantee." The relationship rather than the terminology drives the governing requirements for these two relationships.

Direct Costs: Project related costs used for salaries, travel, equipment, supplies, contractual arrangements, and tangible goods or services.

Indirect Costs: Costs that cannot be identified readily and specifically with a particular project or activity, but are necessary to the operation of the organization (e.g., overhead, facility maintenance). Applicants proposing indirect costs in the Budget Narrative greater than the 10% de minimis rate must provide a copy of their Negotiated Indirect Cost Rate Agreement (NICRA).

Preparing an Application for Funding

- 10 -

Project Costs: The total allowable costs incurred by a recipient and charged to the award during a budget period. Project costs may include expenses provided for through Federal and Non-Federal contributions.

Sub-Recipient or Sub-Awardee or Sub-Grantee: A third-party individual or organization who receives an award for the performance of certain programmatic work. All sub-recipients require prior approval from NEA/AC. The receiving organization (sub-recipient):

- Has its performance measured against whether the objectives of the grantee's project are met;
- Has responsibility for programmatic decision making (to the extent specified in its contract/sub-award);
- Has responsibility for adherence to applicable grant compliance requirements; and
- Uses their awarded federal funds in conjunction with a program of the organization as compared to providing goods or services for a program of the pass-through entity.

Vendor: An organization who receives funding from the grantee for the procurement of a good or service needed to support the grantee's performance of the project. A vendor relationship is one under which the receiving organization (vendor):

- Provides the goods and services within normal business operations or to many different purchasers;
- Operates in a competitive environment;
- Provides goods or services that are supplementary to the operation of the grantee's project; and
- Is not subject to federal programmatic compliance requirements.

When a grantee obtains routine goods and services necessary for performance of the grant-supported project, it may be through activities chargeable to indirect costs (e.g., acquisition of audit services) or, as appropriate, through a direct charge (i.e., contractual).

Cost Category Guidelines

All budgets must include an estimate of the costs projected tasks and activities, based on budget categories identified on the Budget Information Form (SF 424a). Applicants are encouraged to use the following checklist below to ensure that the budget provides all the necessary information.

1. Personnel

- Are the key personnel for this project identified?
 - Key personnel are defined as individuals who contribute to the programmatic development or execution of the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant.
 - Key personnel should include a Program Director and or Program Coordinator.

Preparing an Application for Funding

- 11 -

- Is each position identified by title or responsibility?
 - **Program Director:** The individual who will provide daily oversight of the grant, including fiscal and personnel management, community relations, and project implementation and evaluation during the project period.
 - **Program Coordinator:** The individual who will coordinate coalition services and NEA/AC project activities, including training, coalition communication, data collection, and information dissemination.
 - **Financial or Business Official:** The person who handles the financial components of the grant.
- Is the identified position occupied, if so is the name of the employee identified?
- Is the basis for determining each employee's compensation described (annual salary and % time devoted)?
- Are time commitments and the amount of compensation stated and reasonable?
- Are salary increases anticipated during the grant period and are they justified (cost of living allowance, etc.)?
- Are any personnel costs unallowable? (e.g., does the level of effort of the employee exceed 100% of all work on all projects or positions? Is the person identified a Federal Employee?)

2. Fringe Benefits

- Is each type of benefit indicated separately or does the organization have an approved fringe benefit rate (NICRA)?
- Are fringe increases anticipated during the grant period and are they justified?

3. Travel

- Is the travel necessary for the purpose of the program?
- Are travel costs separately identifiable and reasonable (transportation, hotel, meals, and mileage)?
- Is the basis for computation provided?
- Does the organization travel policy follow the Federal guidelines (e.g., Fly America, per diem rates, etc.)?

4. Equipment

- Does the equipment have a useful life of more than one year and an acquisition cost of \$5,000 or more?
- Is the request necessary and reasonable for the purpose of the project?
- Are equipment items specified by unit and cost?
- Are purchases distinguishable from rentals or leases (vehicles, large items of equipment)?

5. Supplies

- Are supplies listed separately?
- Are costs per unit identified and detailed?
- Is the basis for the cost reasonable?

Preparing an Application for Funding

- 12 -

6. Contractual

- Is the type of service to be rendered described?
- Are the consultant(s) or contractor(s) named, if known?
- Is the total amount for any contract in excess of \$100,000?
- Is a separate budget for sub-recipients or contracts provided?

7. Construction

- Construction costs are not allowable and should not be included

8. Other

- Are items grouped by type (space rental, printing, phone, maintenance, sub-award, etc.)?
- Are all costs justified and allowable?
- Is each sub-award (or sub-grant) described (i.e., description of activities to be performed, method of selection, type of agreement, budget with narrative) and the amount of award included?

Budget Narrative Sample Template

The Budget Narrative Sample Template provides examples of possible costs. Applicants should revise the template to reflect the costs associated with their proposed activities. In addition, applicants should remove any descriptions within the document and replace it with their cost justifications.

When completing the template, applicants should ensure the following:

- Provide details of calculations including estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated;
- Funding should not duplicate on-going activities;
- Budget categories should be clearly labeled and identified;
- The use of "miscellaneous expenses" or any similar term as a budget item is unacceptable; and
- The document should be structured so that it will print in a readable format.

Sustainability Plan

The sustainability plan outlines how the proposed project will be sustained beyond the initial award period. **The plan should be attached as a separate attachment in your electronic submission and may not exceed the page limit specified in the announcement.**

The plan should address each of the areas list below:

- Discuss how sustainability will be integrated into project planning and implementation from the beginning.
- Describe how project activities and results will create sustainable impact through local ownership.

Preparing an Application for Funding

- 13 -

- Identify the results and outcomes that can be realistically sustained after NEA/AC funding ends.
- Present a plan to secure the resources needed to sustain the aforementioned results after NEA/AC funding ends.
- Identify potential partners that will play a role in sustaining the project past the scheduled end date and explain the role they will play.

More information about preparing this Plan can be found in Part III of the program announcement.

Results Monitoring Plan

A Results Monitoring Plan (RMP) describes the measures proposed by an applicant to capture and demonstrate progress towards achieving the objectives of the proposed project. **The plan should be attached as a separate attachment in your submission and may not exceed the page limit specified in the announcement.**

The RMP should include the following elements:

- *Realistic project objectives.* What results are achievable during the period of the grant?
- *Qualitative indicators.* How and what will you measure to show the project's results based on outcomes (impact) as well as outputs (raw numbers)?
- *Data collection and analysis.* How will you collect and present indicator data and analysis to show progress toward the project objectives?
- *Monitoring and reporting.* How will you monitor and assess results during the implementation of the project to adapt to changes on the ground and maintain progress?

More information about preparing this Plan can be found in Part III of the announcement and a fill-able sample template is available for download online.

NICRA

Applicants proposing indirect costs greater than the 10% de minimis rate in the Budget Narrative must provide a copy of their Negotiated Indirect Cost Rate Agreement (NICRA).

OPTIONAL DOCUMENTS

Documents not included in the program and budget narratives may be included as attachments or appendices, and **may not exceed the page limit specified in the announcement.** Examples of attachments to be included in this section of your application are:

- **Biographical Sketch or Job Descriptions for key personnel and partners:**
This information may be included within the project narrative or as a separate document included in the optional documents of the application. If these items are not included, applicants will be scored lower under *Staff and Position Specifications* review criteria outlined in Part V, Section A of the announcement.

Preparing an Application for Funding

- 14 -

- **Work Plans, Project Timeline, or Calendar of Activities:** A work plan is a detailed list of proposed activities, milestones, and approximate dates. You may choose to include a work plan, project timeline, and/or calendar of proposed activities.
- **Pre-Submission Checklist** can be found with the announcement and a fill-able template is available for download online. This Checklist ensures that an applicant has accurately documented the eligibility requirements and included all major components of the application.